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ABSTRACT

This handbook describes the processes and procedures related to library faculty evaluation at the University of Northern Iowa (UNI). Seven sections cover: (1) overview of the evaluation process, including the role of library faculty, work schedule, purpose of evaluation, role of goals and objectives in evaluation, frequency of evaluation, schedule for application for tenure, and calendar for promotion and tenure; (2) terminal degree requirements for library faculty; (3) qualifications for appointment and promotion to professorial rank and tenure; (4) evaluation procedures, including evaluation of probationary faculty, merit evaluation, promotion and tenure procedures, the Professional Assessment Committee, the Administrative Peer Review Committee, and five-year performance review of the Director of Library Services; (5) evaluation criteria, including librarianship, research/scholarship and creative work, and service; (6) contents and use of the evaluation files and resume; and (7) personnel files. Appendices include: UNI principles and standards for promotion and tenure; conditions of employment; "tenure clock" statement; sample calendar for promotion and tenure; library faculty annual report form; results of annual evaluation of tenure-track faculty form; promotion and tenure cover sheet; Library Professional Assessment Committee procedures; Administrative Peer Review Committee procedures; sample five-year review instrument for director of library services; evaluation file log; and sample resume. (DLS)

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ED 422 024

UNIVERSITY OF NORTHERN IOWA
ROD LIBRARY

# LIBRARY FACULTY

# EVALUATION

# HANDBOOK

Fall Semester 1997

IR057149

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## Foreword

This Handbook describes the processes and procedures related to Library Faculty evaluation. It includes documents pertinent to promotion, tenure, and merit evaluation.

All procedures set forth in this document must comply with the requirements for evaluation as outlined in the current edition of the Master Agreement Between the State of Iowa Board of Regents and the UNI-United Faculty.

All procedures set forth in this handbook are governed by the UNI Principles and Standards for Promotion and Tenure found in the University's Policies and Procedures Manual. A copy of these principles and standards also appears in Appendix A.

This handbook has been designed to be updated on a regular basis to maintain currency and to reflect changes in official University policy.

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Spring Semester, 1994

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Fall Semester 1997

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## OVERVIEW OF EVALUATION PROCESS

### 1.1 Role of Library Faculty

While the dissemination of knowledge is a function shared by Library Faculty and the teaching faculty, the role of Library Faculty in the university is a distinct one. Librarians participate in the educational process by providing information and services that enhance the advancement of learning and research. To do this, they employ a diversity of skills and provide a variety of services that range from serving the public directly in a reference or teaching capacity to serving indirectly by acquiring, organizing, and administering library collections and other information resources.

### 1.2 Library Faculty Work Schedule

Nonadministrative Library Faculty are required to work during the fall and spring semesters, the summer session, plus two interim weeks, working a minimum 37 hour week during those periods. Administrative Library Faculty work a twelve-month year and a minimum 40-hour week. Library Faculty work schedules are less flexible than those of teaching faculty (see Appendix B - Conditions of Employment).

The extended work schedule of Library Faculty and the nature of their work necessitates weighting the category of Librarianship (equivalent to Teaching) most heavily in their promotion and tenure, and merit evaluations. The respective weights are 70% Librarianship; 15% Research, Scholarship, and Creative Work; and 15% Service.

### 1.3 Purpose of Evaluation

The University of Northern Iowa mandates evaluation of its faculty on a regular basis to determine eligibility for promotion and tenure and to aid in the determination of merit salary recommendations. By providing an assessment of their performance, evaluation helps faculty members grow and improve in their present job assignments, in self-development, and in setting appropriate goals and objectives for future growth. Additionally, evaluation strengthens communication and understanding between the faculty and their supervisors and contributes to the achievement of the Library's Strategic Plan.

### 1.4 Role of Goals and Objectives in the Evaluation Process

Rod Library uses strategic planning and the establishment of goals and objectives to support the mission of the University of Northern Iowa. Each Library department develops annual goals and objectives in support of the Library's mission and strategic plan. Library Faculty compile individual goals and objectives in consultation with their supervisor to support departmental goals and objectives. Individual goals and objectives provide the framework for one's performance; activities in meeting those goals and objectives provide the basis for performance evaluation. Because of the fluid nature of position responsibilities, the emphasis within a position will fluctuate, requiring that goals and objectives change from year to year.

### 1.5 Frequency of Evaluation

Probationary Library Faculty are evaluated by the Professional Assessment Committee (PAC) or the Administrative Peer Review Committee (APRC) (see sections 4.4 and 4.5) and by their Department Head(s) or the Associate Director during the December-January period, according to the calendar established by the office of the Vice President for Academic Affairs and Provost (hereinafter referred to as the Provost), until such time as the faculty member receives or is denied

tenure. All Library Faculty are evaluated by their Department Head(s), the Associate Director, or Director of Library Services each April for purposes of determining merit increases.

### 1.6 Schedule for Application for Tenure

Evaluation for promotion and tenure is required by the University during the sixth year of probationary service. (For a definition of how the sixth year is defined, see Appendix C: Tenure Clock.) In cases of exceptional merit or when given credit toward tenure at appointment, faculty may apply for promotion and tenure prior to the sixth year. Among other requirements for tenure, candidates must hold the terminal degree (defined in this document in section 2, Terminal Degree). The library may choose, as detailed in this document under Qualifications for Appointment and Promotion to Professorial Rank, and Tenure, section 3) to employ persons at the instructor rank who do not have the terminal degree. Library Faculty at the instructor rank who complete their terminal degree prior to their sixth year may apply for promotion to assistant professor (without tenure) at that time. Application for tenure would then follow in the sixth year.

### 1.7 Calendar for Promotion and Tenure

Upon receipt of official dates from the Provost, the Director of Library Services issues to each Library Faculty member a calendar governing the promotion and tenure process (See Appendix D: Sample Calendar for Promotion and Tenure). This calendar indicates necessary actions of candidates, Department Heads, PAC, APRC, and other appropriate persons during the promotion and tenure process.

## 2. TERMINAL DEGREE

**The terminal degree for Library Faculty shall be, either:**

1. A master's degree in library/information science from an institution accredited by ALA at the time of issue of the degree, or its international equivalent as decided in consultation with ALA Headquarters.

**and at least one of the following:**

a. a master's degree or doctorate in another discipline.

b. thirty graduate hours toward a specialist certificate or degree, a master's degree, or a doctorate in another discipline.

c. thirty graduate hours in library/information science at the post-master's degree level.

**or:**

2. A doctorate in library/information science from an institution accredited by ALA at the time of issue of the degree

## 3. QUALIFICATIONS FOR APPOINTMENT AND PROMOTION TO PROFESSORIAL RANK, AND TENURE

Recommendations for initial appointment and promotion are based on evidence that the faculty member has met the qualifications for the rank to which the faculty member is appointed or promoted.

Faculty members are evaluated for appointment, promotion, and tenure in all areas of their assignment. Promotion and tenure decisions shall be based on the following weights: 70% Librarianship; 15% Research, Scholarship, and Creative Work; and 15% Service. Assessment will be based upon a review of the case as submitted by the candidate and letters of reference from qualified evaluators. Listed below are the criteria for review.

### 3.1 Instructor

Faculty members appointed to this rank possess a master's degree in library/information science from an institution accredited by ALA at the time of issue of the degree, or its international equivalent as decided in consultation with ALA Headquarters. See also 3.2.

### 3.2 Assistant Professor

Faculty members appointed or promoted to this rank must possess an ALA-accredited degree as described above. Additionally, faculty members must have met the terminal degree requirements as described above or have significant years of professional library experience.

The faculty member must have a record of, or demonstrate potential for, significant accomplishments in librarianship, research/scholarship/creative work, and service.

Probationary faculty at the rank of Instructor may apply for promotion to Assistant Professor prior to their sixth year of service provided that they have completed the requirements for the terminal degree. Normally, an Instructor serves at least three years in rank before promotion to Assistant Professor. In such cases promotion is not linked to tenure.

### 3.3 Associate Professor

Faculty members appointed or promoted to this rank must possess an ALA-accredited degree as described above. Additionally, faculty members must have met the terminal degree requirements as described above and have significant years of professional library experience.

The faculty member exhibits a significant degree of professional accomplishment in librarianship, research/scholarship/creative work, and service, with reasonable assurance that this level of achievement will be sustained.

Normally, an Assistant Professor completes at least six years of service, including at least three years as an Assistant Professor, before promotion to Associate Professor (see Appendix A: UNI Principles and Standards for Promotion and Tenure).

### 3.4 Professor

Faculty members appointed or promoted to this rank possess an ALA-accredited master's degree in library/information science as described above. Additionally, faculty members must have met the terminal degree requirements as described above and have significant years of professional library experience.

The faculty member exhibits a high degree of professional accomplishment in librarianship, research/scholarship/creative work, and service, with reasonable assurance that this level of achievement will be sustained.

Normally, six years in rank as an associate professor are required for promotion to full professor (see Appendix A: UNI Principles and Standards for Promotion and Tenure).

### 3.5 Tenure

In most cases, the level of performance sufficient to justify tenure will correspond to that expected for the rank of Assistant or Associate Professor and will ordinarily accompany promotion to those ranks.

Appointment to the faculty with tenure is rare and requires the approval of the tenured faculty, the Director of Library Services, and the Provost.

Library Faculty members must apply for tenure in their sixth year of service at UNI. Since appointments can begin in mid-year, the Director has provided a definition of the "tenure clock" for use in those cases (See Appendix C: "Tenure Clock"). A person beginning work by the first day of classes will normally stand for tenure in the sixth year following that fall semester in which he or she began work. A person beginning work after the first day of classes will normally stand for tenure in the sixth year following the fall semester after he or she began work.

## 4. EVALUATION PROCEDURES

### 4.1 Evaluation of Probationary Faculty

Probationary faculty are evaluated twice a year. In December/January, according to the calendar established by the Provost's office and until such time as the faculty member receives or is denied tenure, a written evaluation is provided by the PAC or APRC, and a written and oral evaluation is given by the immediate supervisor(s). The purpose of the December/January evaluation is to determine whether or not continued probationary employment status should be granted and to assess the faculty member's cumulative progress towards achieving tenure and promotion. Probationary faculty, along with tenured faculty, are evaluated again in April to determine merit salary increases.

By the date set by the Director of Library Services, probationary Library Faculty shall provide an updated vita along with any other supporting documentation to be added to their evaluation file (see also section 6.).

The PAC will write evaluation letters for non-administrative librarians and submit them to the appropriate department head(s). The APRC will do the same for administrative librarians and submit them to the Associate Director.

Department Heads will write an evaluation letter and complete a Results of Annual Evaluation of Tenure-Track Faculty form (Appendix F) for all probationary Library Faculty in their departments. The Associate Director will do the same for probationary administrative Library Faculty.

The evaluation letter should address the library faculty member's performance in librarianship, research, scholarship and creative work, and service.

Department Heads or the Associate Director will meet with probationary faculty to discuss their evaluations. The evaluation letter, PAC or APRC report, and the recommendation form will then be forwarded to the Associate Director (in the case of non-administrative Library Faculty) or the Director of Library Services (in the case of administrative Library Faculty) by the date specified. The Associate Director reviews and forwards the form and letter prepared by the Department Head(s) and the PAC report to the Director of Library Services.

In the case that Library Faculty members have two or more evaluators, they will receive an evaluation from each.

The Director of Library Services, upon receipt of evaluation letters and recommendation forms from Department Heads or the Associate Director and PAC or APRC reports, may seek additional information or advice from the Library Administrators' Council (LAC) on the performance of the probationary candidates in question.

By the date specified, the Director of Library Services will forward to the Provost recommendations regarding continued employment status for probationary faculty.

In February/March each probationary faculty member shall receive a letter from the Provost indicating a decision regarding continued probationary status.

Faculty on multi-year term appointments shall be evaluated following the same procedures as tenure track faculty.

Probationary Faculty shall be evaluated again in April to determine merit salary increases (see 4.2).

## 4.2 Merit Evaluation

Faculty members are evaluated in April as part of the process to determine merit salary increases for the succeeding fiscal year. The Director of Library Services shall determine merit salary increases for all faculty.

By the date set by the Director of Library Services, Library Faculty shall submit a Library Faculty Annual Report (Appendix E), along with any other supporting documentation, to their Department Head(s) or the Associate Director or the Director, as appropriate. The Library Faculty Annual Report shall cover the April 1 - March 31 time period. This report will be added to the faculty member's evaluation file.

Department Heads or the Associate Director will complete an evaluation letter for each of the Library Faculty they supervise who did not stand for promotion that year and will meet with those faculty to review the evaluation. The evaluation letter should address the library faculty member's performance in librarianship, research, scholarship and creative work, and service. They will submit the completed, signed report to the Associate Director or the Director of Library Services by the date specified.

The Director of Library Services, upon receipt of evaluation letters from Department Heads, may seek additional information or advice from the Library Administrators' Council. The process through which such additional information or advice is sought may vary from year to year, but normally LAC members may make observations on any individual faculty member's performance, based on that person's interaction with the faculty member in question. The Director of Library Services may seek additional information or advice from the Associate Director in determining salary adjustments for administrative faculty. Merit increases will be based on the following: librarianship (70%); scholarship (15%); and service (15%).

Faculty on multi-year term appointments shall be evaluated following the same procedures as tenure track faculty and shall be eligible for merit salary increases on the same basis as other faculty.

Candidates for tenure and/or promotion, having undergone a full assessment by the PAC or APRC, Department Head(s) or Associate Director, and Director earlier in the academic year shall not be evaluated again in April. However, such faculty members will complete a Library Faculty Annual Report form (Appendix E), and submit this form to their Department Head(s), Associate Director or Director, according to the same schedule as other library faculty. For purposes of determining merit salary increases, the Director may consult with their Department Heads, the Library Administrators' Council, and others, as appropriate.

In accord with the collective bargaining agreement, the Director of Library Services shall write a letter to each non-administrative faculty member summarizing the faculty member's performance-based on the Department Head's evaluation, LAC input, and personal observation. The Director shall also write similar letters to administrative faculty. All faculty members shall be informed of their new salary in these letters or a separate communication.

## 4.3 Promotion and Tenure Procedures

Probationary faculty automatically are considered for tenure and promotion (if not promoted previously) during their sixth year of employment (see Section 1.6). Probationary faculty may be given years of credit towards tenure at the time of their appointment. Probationary faculty at the rank of Instructor may apply for promotion to Assistant Professor prior to their sixth year of service provided they have completed the requirements for the terminal degree. In such cases, promotion

is not linked to tenure. Tenured faculty may normally apply for promotion after they have completed the requisite number of years in rank.

In September of each year, the Director of Library Services issues an "Evaluation Timetable for Faculty Promotion, Tenure, Termination" (Appendix D) based on a calendar issued by the Provost. This timetable outlines specific dates for various activities related to the promotion and tenure process.

Nonadministrative faculty may be nominated for promotion by the Professional Assessment Committee, by Department Heads, or by the Associate Director. Administrative faculty may be nominated for promotion by the Administrative Peer Review Committee or by the Associate Director. All faculty members have the option of nominating themselves for promotion.

Immediately after the deadline for nominations, the Director of Library Services will contact the faculty nominated for promotion to determine if they wish to be considered for promotion. Faculty who wish to pursue promotion then have at least ten calendar days to provide the Director an updated resume together with any other supportive materials to be included in their Evaluation File (see section 6). The Evaluation File will be used by the Professional Assessment and Administrative Peer Review Committees in their assessments of faculty members' candidacies for tenure and/or promotion.

Once the candidate's Evaluation File is complete, the Director of Library Services so notifies the chair of the Professional Assessment Committee or of the Administrative Peer Review Committee, as appropriate.

By the date specified (normally the first week in December (see 3.33 Master Agreement)), the PAC will submit its report to the candidate and the candidate's Department Head(s). On this same date, the APRC must submit its recommendations to the Associate Director (for candidates who are Department Heads) or to the Director of Library Services (for the Associate Director). PAC or APRC's report will be accompanied by the Promotion and Tenure Cover Sheet (see Appendix G).

The Department Head has approximately one month (or until the date designated) to prepare an assessment of the candidate and to recommend to the Director of Library Services approval or rejection of the faculty member's bid for tenure and/or promotion.

The Associate Director has approximately one month (or until the date designated) to complete an assessment of Department Head candidates and to recommend approval or rejection of the request for tenure and/or promotion.

Shortly thereafter, the Director of Library Services may invite the Library Administrators' Council to discuss nonadministrative faculty candidates for promotion or tenure and to provide additional information for the Director's consideration. The Director, at his discretion, may invite LAC members to review candidates' evaluation files. The LAC does not issue a written assessment of candidates.

At the end of January the Director of Library Services, considering the various assessments of candidates for tenure and/or promotion, and using his or her own judgment, submits his or her evaluations and recommendations to the Provost. Prior to submission of this report, the Director meets with each candidate being evaluated, providing each candidate a copy of the Director's evaluation. A copy of that evaluation is also placed in the candidate's Evaluation File.

The Provost, the Deans, and the Director hold a retreat to discuss all candidacies for tenure and/or promotion on the same date by which the Director must submit a report to the Provost.

Candidacies for tenure and/or promotion are also considered by a University Promotion and Tenure Advisory Committee. That committee serves in an advisory capacity to the Provost and has approximately two weeks to prepare and submit its vote on candidates to the Provost.

By March 1, normally, candidates are notified of the recommendation of the Provost concerning her decision regarding promotion, tenure, termination, and/or continued probation. The recommendations of the Provost are then forwarded to the Board of Regents for their approval.

Changes in rank or tenure status become effective at the start of the fiscal year.

### 4.4 Professional Assessment Committee

The Library Professional Assessment Committee is mandated by Section 3.3 of the Master Agreement Between the State of Iowa Board of Regents and the UNI-United Faculty, which states that each academic department shall have a professional assessment committee. The Library PAC consists of all tenured non-administrative Library Faculty. It does an evaluation and final report for each non-administrative librarian being considered for tenure and/or promotion, following the evaluation time table issued each fall. PAC also prepares a written evaluation of any non-administrative Library Faculty on continuing probation.

See Appendix H for detailed operating procedures of the Library PAC.

### 4.5 Administrative Peer Review Committee

The Administrative Peer Review Committee (APRC) serves to assess administrative Library Faculty candidates for promotion and/or tenure. The Committee consists of tenured Library Faculty holding administrative appointments, with the exception of the Director and Associate Director. The APRC conducts an evaluation and prepares a final report for each administrative librarian considered for tenure and/or promotion, following the evaluation time table issued each fall by the Director of Library Services. It also prepares an evaluation of any administrative Library Faculty on continuing probation.

See Appendix I for detailed operating procedures of the APRC. (See 3.7 Master Agreement).

### 4.6 Five-Year Performance Review of Director of Library Services

A performance review of the Director of Library Services shall be conducted every five years. The review shall be overseen by the Provost. Normally a committee representing Library Faculty, P&S staff, and Merit staff is appointed to develop and administer the performance review instrument. The precise details of how the review is conducted may vary from review to review. The survey instrument used in the fifth year performance review in 1993-94 is found in Appendix J.

## 5. EVALUATION CRITERIA

Criteria for evaluation of Library Faculty in the Rod Library, University of Northern Iowa, may be grouped as: **Librarianship**; **Research, Scholarship, and Creative Work**; and **Service**. Promotion and tenure, and merit evaluation decisions shall be based on the following weights: 70% Librarianship; 15% Research, Scholarship, and Creative Work; and 15% Service. An explanation of these three evaluation groups follows.

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### 5.1 Librarianship

**Librarianship** is the category for Library Faculty that is equivalent to the Teaching category for Instructional Faculty. Librarianship encompasses the primary work assignment of Library Faculty and as such is the most important category to be considered in the evaluation process. The major portion of a Library Faculty member's scheduled time is expected to be devoted to carrying out responsibilities in Librarianship.

The primary work assignment for some Library Faculty may be narrowly defined; other Library Faculty may have much more diverse assignments. Regardless of assignment[s], Library Faculty are expected to perform at a high level of competence, contributing to the educational and research missions of the Library and the University. Evaluation of a Library Faculty member's work shall be based on such criteria as: grasp of library methods and new technologies, command of their subjects, continued growth as librarians, initiative, judgment, leadership, innovation, and ability to relate their assignment[s] to the broader goals of the Library and the University . Evaluation shall also be based on the Library Faculty member's progress towards accomplishing individual goals and objectives.

Areas of responsibility in which librarianship may be evaluated are listed below. This list is intended to be descriptive and comprehensive, but not exhaustive.

---

- Identification, selection, acquisition and preservation of books, serials, electronic resources, and other library materials necessary to support the teaching and research activities of the University.
- Analysis, development and maintenance of quality bibliographic information and control.
- Provision of accurate, informed, and appropriate information to library users.
- Interpretation and instruction in the use of the Library and of information resources through reference services and instructional programs.
- Improvement, maintenance and monitoring of the quality of library services and collections.
- Provision of comprehensive, convenient, and easy-to-use access to local and remote information resources and collections.
- Communication and cooperation with faculty, staff, students, and others in the pursuit of better library service.

-- Analysis of informational and other library needs of the University community, and the organization of materials and services to meet both present and anticipated needs.

-- Effective management and stewardship of personnel, personal resources (e.g., time management), funds, users' time, and other assigned resources.

-- Administration or management of departments or sections; effective management of unit operations, achieving the best possible results with available staff and/or resources.

-- Coordination of library services with university programs, policies, and curricula.

-- Demonstration of leadership in presenting and implementing individual, departmental, or library goals and objectives.

## 5.2 Research, Scholarship, and Creative Work

**Research/scholarship/creative work** is one of the three categories within which Library Faculty are evaluated. Research, scholarship, and creative work are defined as those activities that contribute to and further the knowledge base in an academic discipline either on a theoretical or on a practical level.

Research, scholarship, and creative work are demonstrated by the publication, production, and/or presentation of appropriate professional, scholarly, or original works, or by production of significant in-house publications. These works may appear in print or in electronic form. Works accepted for publication but not yet published will be considered in evaluations, as will scholarly works in progress, except for tenure and promotion purposes.

Examples of evidence of research, scholarship, and creative work are listed below in three categories. Generally, Category I will receive the most weight in evaluations, and Category III the least weight.

Evaluators should assess each scholarly or creative work on its substance and quality. Items of exceptional substance and/or quality falling into Categories II or III might be given Category I or II weight, while items of lesser substance and/or quality falling into Categories I or II might be given Category II or III weight. The list below is meant to provide general guidelines. It is not exhaustive and is not intended to assign absolute weights. Evaluators should not use category numbers in referring to an individual's research, scholarship and creative work in evaluation letters.

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### CATEGORY I

- Publication of applied or theoretical research in a monograph, or publication/production and/or presentation of a major piece of creative work.
- Publication of applied or theoretical research as an article in a refereed journal or as a chapter or section in a book, or publication/production and/or presentation of a piece of creative work.
- Editorship of a monographic series or set, journal or monograph.
- A paper or presentation given at an international, national, regional or state professional conference.
- A dissertation, thesis, or equivalent, accepted in fulfillment of an accredited graduate degree.

### CATEGORY II

- Design/development of electronic resources, such as original web pages, audiovisual materials, computer applications and/or software and databases.
- Production of abstracts and/or indexes for a published journal or for an indexing/abstracting service.
- Membership on an editorial board for a scholarly publication.

-- Editorship of a newsletter of a professional organization.

-- Scholarly presentations other than at conferences, e.g. at educational institutions, other organizations, or via the media.

-- Successful PDL or grant proposals relating to a scholarly project.

-- Participation in a panel discussion at a professional conference.

-- Publication of an ERIC document.

-- Presentation of a poster session at a professional conference.

-- Publication of a scholarly article in a non-refereed journal.

**CATEGORY III**

-- Publication of a signed, critical book or media review.

-- Publication of an article in a professional newsletter.

-- Significant in-house publications, audiovisual productions, or computer applications presenting new ideas or incorporating research, such as annotated bibliographies, significant reports, handbooks or manuals, indexes, abstracts or union lists, web pages, and library user guides.

**Note:**

-- Depending on their degree of originality and the purpose for which they were created, web pages may fall in either Category II or III.

-- Translations of scholarly or creative works can fall in any of the three categories, depending on the nature of the work translated.

-- Work toward satisfying the terminal degree requirement completed during a librarian's probationary period is considered significant evidence of scholarship and is applied toward meeting scholarship requirements for tenure and initial promotion.

## 5.3 Service

**Service** is one of the three categories within which Library Faculty are evaluated. Examples of a Library Faculty member's service which shall be evaluated are: library service, institutional service, professional service, and public professional service. Library Faculty can render valuable service to the Library and the University, other institutions, professional associations, and the community in governance, advisory, development, and implementation roles.

Service contributions made to the profession or the community offered as evidence for evaluation must relate to the Library Faculty member's professional expertise.

The strength of the service contribution will be evaluated by examining the charge and activity of the service group, the Library Faculty member's role and accomplishments in the group, and the demonstrated value of the Library Faculty member's service to UNI or to other affected groups and institutions.

Examples of service activities for which a Library Faculty member may be evaluated are listed below. This list is intended to be descriptive and comprehensive, but not exhaustive.

---

- -- Active membership (or office) in a committee, task force, advisory, or governing body of a professional association, organization, or society
- -- Active membership (or office) in a committee, task force, advisory, or governing body of the University
- -- Active membership (or office) in a library committee or task force
- -- Successful grant proposals to improve library facilities, equipment, and services
- -- Community service activities relevant to professional expertise; e.g. cataloging a collection for an organization or serving on a library board or Friends group
- -- Presentations relevant to professional expertise other than at a conference; e.g. at educational institutions, other organizations, or via the media
- -- Teaching at or organizing workshops, institutes, or similar meetings relevant to professional expertise
- -- Serving on an accreditation team
- -- Consulting work relevant to professional expertise
- -- Receipt of honors or awards relevant to professional expertise

## 6. EVALUATION FILES

### 6.1 Contents and Use

The Master Agreement Between the State of Iowa Board of Regents and the UNI-United Faculty specifies the contents and use of the materials kept in the evaluation file. This document presents that information in an abbreviated form. Please note the references to specific sections of the Master Agreement come from Article Three of the 1997-1999 edition. These procedures also apply to the evaluation files of administrative Library Faculty.

Documents to be placed in an individual's evaluation file are added by the individual, the department head(s), the Associate Director, and the Director of Library Services via the Director's secretary. When documents of which the individual had no prior knowledge are placed in an individual's file, the individual will be notified promptly by the Director's secretary. Primary and supporting documents are usually added to an individual's file after the individual's mid-year (non-tenured faculty) and/or annual evaluation. However, they may also be added at other times during the year. Library faculty are encouraged to add new supporting documents annually to their evaluation file by submitting them to their department head(s) during the evaluation process.

For Whom: Tenured, probationary, term and full-time temporary faculty. The evaluation file is not required for part-time, adjunct, or Professional/Scientific personnel.
Reference: Article 3.0

Purpose: To provide an historical record which serves as the basis for performance appraisal.

Location: Department office (for the Library, this would mean the Administrative Suite)
Reference: Article 3.0

Access: When: Those persons authorized to review the contents of the evaluation file may do so during regular working hours or at a time mutually agreed upon with the Department Head (Director of Library Services).
Reference: Article 3.11 and 3.12

Who:
Faculty member (Reference: Article 3.11)
PAC or APRC (Reference: Article 3.12)
Department Head (Reference: Article 3.412)
LAC (at invitation of Director)
Associate Director
Director of Library Services (Reference: Article 3.52)
Vice President/Provost (Reference: Article 3.52)

Conditions:
All reviews shall take place in the presence of the Director of Library Services or his/her designee.
Reference: Article 3.13

Right to Remove:
The faculty member may request in writing removal of item/s from the evaluation file, but this requires the approval of the Director of Library Services and the Provost.
Reference: Article 3.06

Right to Respond:
The faculty member may respond to items in the file by attaching a response to the item in the file.
Reference: Article 3.07

Right to Copy:
The faculty member may copy items in the file at his/her expense at $.05 per page.
Reference: Article 3.14

Contents:
Bulky materials may be located outside the file provided the file contains a record of the material.
Reference: Article 3.01

Appointment Letter (Reference: Article 3.05)
Current Resume (Reference: Article 3.01)
PAC or APRC Reports (Reference: Article 3.03, Article 3.33)
Evaluation Letters/Reports (in reverse chronological order)
- Department Head (Reference: Article 3.04, 3.411, 3.422, 3.431, 3.44)
- Director of Library Services (Reference: Article 3.04, 3.5)
- Vice President/Provost (Reference: Article 3.04, 3.5)

Goals and Objectives (Article 3.01, 3.432)
Library Faculty Annual Reports (Article 3.01, 3.432)
Documents relating to Scholarship/Research/Creative Activity (Article 3.01, 3.432)
- External Publications
- External Presentations
- Internal Publications
- Evidence of Other Scholarly/Creative Work

Letters (Article 3.01, 3.432)
Other Supporting Documentation (Article 3.01, 3.05, 3.432)

Library Faculty Evaluation Files shall be arranged in the order described below. Within each category, letters and reports are filed by date, in reverse chronological order.

**EVALUATION FILE TABLE OF CONTENTS**

I. Appointment Letter

II. Current Resume

III. PAC or APRC Reports

IV. Evaluation Letters/Reports

- A. Department Head
- B. Director of Library Services
- C. Vice President/Provost

V. Goals and Objectives

VI. Library Faculty Annual Reports

VII. Documentation of Research, Scholarship, and Creative Work

A. External Publications

B. External Presentations

C. Internal Publications

D. Evidence of Other Scholarly/Creative Work

VIII. Letters

IX. Other Supporting Documentation

Subcategory: Attributions/Credits

Folders may be subdivided into additional categories at the discretion of the individual and with the approval of the Director of Library Services.

The evaluation file should contain a log at the start of each section which indicates the contents of that section, listing a number for each item, a brief description, the date entered, and, as applicable, the date removed and initials of the Director to indicate approval of the removal. (See Appendix K: Evaluation File Log for the form and samples.)

### 6.2 Resume: Contents and Use

A comprehensive and up-to-date resume is critically important for the evaluation process. At some levels of review, particularly those external to the Library, it is the primary component of the Evaluation File used in assessing candidates for promotion or tenure. By the date set by the Director of Library Services, candidates for tenure and/or promotion and probationary faculty shall provide an updated resume (see also Section 4.1). All other Library Faculty are also encouraged to update their resume annually.

Candidates for promotion and/or tenure should ensure that their resume provides an inclusive representation of their professional career. A model resume outline is provided in Appendix K. Candidates need not follow this outline precisely although the various elements detailed in that outline should appear in the resume in some form. While the resume should be comprehensive, candidates should take care not to include items that would lead the reader of the resume to think it was padded.

## 7. PERSONNEL FILES

The Master Agreement Between the State of Iowa Board of Regents and the UNI-United Faculty refers to the contents and use of the materials kept in the personnel file. University common practice defines the Personnel File as the file in which are maintained the materials related to a faculty member's status while at UNI, not their performance. Please note that any references to specific sections of the Master Agreement come from Article Four of the 1997-1999 edition. These procedures also apply to the personnel files of administrative Library Faculty.

For Whom: All university faculty (Reference: Article 4.0)

Purpose: To provide an historical record which serves as the record of a faculty member's employment with the University

Location: Dean's office (for the Library, this would mean the Administrative Suite) (Reference: Article 4.0)

Access:

When: Faculty members may review the contents of the personnel file during regular working hours or at a time mutually agreed upon with the Dean (Director of Library Services).
Reference: Article 4.1

Who:
Faculty member (Reference: Article 4.1)
Director of Library Services (Reference: Article 4.1)

Conditions:
All reviews shall take place in the presence of the Director of Library Services or his/her designee. Excluded from the review will be employment credentials which are not designated by their source as available to be reviewed by the candidate.
Reference: Article 4.1

Right to Remove:

The faculty member may request, in writing, removal of item/s from the personnel file, but this requires the approval of the Director of Library Services and the Provost.
Reference: Article 4.3

Notice of Complaint:

The secretary to the Director of Library Services shall promptly notify a faculty member, in writing, when any complaints directed toward that faculty member are placed in her/his personnel file.
Reference: Article 4.4

Right to Respond:

The faculty member may respond to items in the file by attaching a response to the item in the file.
Reference: Article 4.2

Right to Copy:

The faculty member may copy items in the file at his/her expense at $.05 per page.
Reference: Article 4.5

Contents:

The personnel file does not include documents related to performance; those are included in the evaluation file (see section 6 Evaluation File). The personnel file typically includes: letter of offer to candidate; letter of acceptance by candidate; Affirmative Action forms related to the hire; all Personnel Action Forms related to the faculty member. It may also include, as appropriate: all Professional Development Leave applications by the faculty member and the approvals/rejections related to those applications; a holding file on grievances filed by/against the faculty member; requests for leave and the approvals/rejections related to those requests; letter of resignation; or retirement related correspondence.

**Appendix A: UNI Principles and Standards for Promotion and Tenure**

## PRINCIPLES, STANDARDS, AND PROCEDURES FOR FACULTY APPOINTMENTS, PROMOTIONS, AND TENURE

### I. PRINCIPLES, STANDARDS, AND PROCEDURES FOR FACULTY APPOINTMENTS

A. General terms and conditions of appointments shall be stated in writing. In addition to the letter of offer, all appointments are governed by relevant policies as stated in the Policies and Procedures Manual and any applicable sections of a faculty collective bargaining agreement.

B. Evaluation of an individual with respect to appointment to the faculty is made without reference to race, sex, creed, age, or any criteria prohibited by law.

C. For all appointments to the faculty, the primary standard is that the candidate to be appointed is the candidate best qualified for the position among those available for it.

D. It is expected that faculty members will have, at the time of appointment or within a reasonable period thereafter, the terminal degree appropriate to their disciplines and positions, except as noted in paragraph (E). Specifically:

1. For initial appointment at the rank of assistant professor, candidates will normally possess the appropriate terminal degree and will show experience of or strong potential for excellence in teaching, productive scholarship, and professional service.

2. For initial appointment at the rank of associate professor or professor, candidates will have the appropriate terminal degree and will have substantial experience demonstrating excellent teaching, productive scholarship, and professional service. Initial appointments at the senior ranks are based on the same criteria as promotion to those ranks.

E. Although in most academic disciplines and for most faculty positions the appropriate terminal degree is the doctorate, the university recognizes that in some disciplines and for some positions other degrees are customarily regarded as the highest normally appropriate to scholars in those areas. The university also recognizes that in exceptional instances there can be experience and/or training other than formal degree work that qualify a faculty member or candidate as teacher and scholar as effectively as a formal degree program. Such instances will be based on a considerable record of achievement, such as a substantial record of published research in professional journals. For those disciplines or positions where the appropriate terminal degree is normally not the doctorate, the degree requirement, if any, will be stated in established policies initiated by the department affected and agreed to by the college dean and the vice-president and provost. In the absence of any established policy to the contrary, the terminal degree for all disciplines and positions is the doctorate.

### TEMPORARY APPOINTMENTS

A. A temporary appointment runs for a precisely stipulated short term, usually one year or less. It terminates automatically at the expiration of the stipulated term. It carries no implications of renewal or continuation beyond the stipulated term.

B. A temporary appointment may be terminated during a given year only for a good cause and only in accordance with the requirements of due process as approved by the Board of Regents, June 30, 1973, and any applicable sections of the collective bargaining agreement.

TERM APPOINTMENTS

A. A term appointment is a multiple-year appointment, i.e., two, three, or four years, which expires as specified by the initial letter of appointment. Initial appointments may not exceed a total of four years. When positions become vacant by expiration of the term of appointment, a search must be conducted.

B. A term appointment may be terminated during a given year only for just cause and only in according with any applicable sections of the master agreement.

PROBATIONARY APPOINTMENTS

A. A probationary appointment, like a temporary appointment, runs for a stipulated short term, usually one year. Unlike a temporary appointment, however, it carries the implication that, if the appointee's services are judged by the university to be satisfactory, the appointment will be renewed year after year until, normally, a total of six years of probationary service shall have been accumulated; however, the university may offer reappointment for a seventh probationary year. The tenure standards for the seventh year will be the same as during the sixth year.

B. A probationary appointment may be terminated at the end of any term,[1] provided that written notice of the intention to terminate has been given by the university to the probationer in good time. Specifically: if the appointment is to be terminated at the end of the first year, notice shall be given by March 1; if at the end of the second year, by December 15; if at the of any later probationary year, twelve months in advance.

C. A probationary appointment may be terminated during the term, but only for just cause and only in accordance with any applicable sections of the collective bargaining agreement.

D. The probationary period provides the opportunity to meet the requirements for tenure.

E. By March 1 of every year, every faculty member on a probationary appointment shall receive official written evaluation of his/her work to date.

## II. PRINCIPLES, STANDARDS, AND PROCEDURES FOR PROMOTION AND TENURE

A promotion and tenure decision is a crucial judgment that vitally affects the university, its faculty, its students and its supporting public. Of necessity, it is a subjective judgment about potential performance based on a current evaluation.

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1 The term (period) of the appointment is specified in the letter of offer; it is normally one academic year but may be for a shorter period.

Only probationary faculty are eligible to be considered for tenure. Individuals holding adjunct, term, temporary, visiting, nonacademic, or appointments other than probationary at the University are not eligible to be considered for tenure. No person, by time, degree, or accomplishment, acquires an automatic right to promotion and tenure.

Normally an instructor serves at least three years in rank before promotion to assistant professor; an assistant professor completes at least six years of service, including at least three years as an assistant professor, before promotion to associate professor; and an associate professor completes at least six years in rank before promotion to professor.

The following criteria and procedures apply to decisions concerning promotion and tenure:

A. Tenure and promotion to associate professor requires that the candidate have a documented record of accomplishment in teaching, scholarship and/or creative achievement, and professional service. It is recognized that each candidate will have varied degrees of accomplishment in the three areas. Only after an affirmative judgment as to documented teaching effectiveness has been made can serious consideration be given to an evaluation of scholarship and professional service.

   In considering an individual for promotion, attention is given to all available information, such as: evidence of successful teaching; quality of research and professional publications; artistic productivity; the esteem in which the faculty member is held by students, colleagues, and administrative officers; professional growth; participation in university activities and contributions to the general welfare of the university.

   1. The primary assessment of the candidate for promotion is made by her/his colleagues in her/his department, through established assessment procedures, in accordance with applicable sections of a collective bargaining agreement, although the decision to promote is the responsibility of academic officers.

   2. The assessment will not only include a scrutiny of the candidate's record, but also calls for one or more formal assessments by the candidate's students and classroom visitation by colleagues.

   3. Departments may seek assessments of a candidate from colleagues in her/his academic field in other institutions.

B. The person must hold the doctorate or other terminal degree appropriate to her/his academic discipline. In unusual cases of extraordinary professional achievement, the requirement for the terminal degree may be waived.

C. Evaluation for promotion and tenure is required during the sixth year of probationary service. The awarding of promotion and tenure prior to the expiration of the sixth year of probationary service will be made in cases of exceptional merit.

   The person must demonstrate, during the probationary period, the ability to apply the doctorate, or other comparable terminal degree-level of training to teaching, research, and public professional service. A faculty member with the rank of assistant professor who is considered for tenure will also be considered for promotion to associate professor.

   Faculty members who demonstrate exceptional performance in teaching, scholarship, and professional service may be considered for promotion before the completion of the years of service specified above.

D. Because the qualifications for promotion to associate professor and tenure are identical, an assistant professor who possesses the qualifications for tenure generally will receive simultaneous evaluation for promotion to the rank of associate professor. Situations may occur, however, where the tenure decision is considered independently from promotion in rank, such as the case of faculty members appointed to the Malcolm Price Laboratory School or that of an associate of full professor initially hired without tenure.

Faculty holding probationary appointments in the Price Laboratory School with the rank of Instructor are eligible for tenure consideration based on their teaching, service, and contributions to the teacher education program.

Price Laboratory School faculty with earned doctorates or other terminal degrees appropriate to their discipline may be appointed or promoted to Assistant Professor, and will be considered for tenure under standard University tenure criteria and procedures.

E. In those cases of an assistant professor who holds tenure, promotion from assistant professor to associate professor requires a documented record of accomplishment in teaching, scholarship and/or creative achievement, and professional service.

F. Promotion from associate professor to full professor requires recognized and significant accomplishments in the areas of teaching, scholarship and/or artistic achievements, and professional service.

G. A tenured appointment or promotion is made upon recommendation from the faculty. The final responsibility for a decision rests with the appropriate academic officers. The deans and vice president and provost have a responsibility to ensure that recommendations for promotion and tenure reflect high university standards while acknowledging diversity of missions and tasks within the various colleges and programs of the University.

H. Evaluation of individuals with respect to promotion in rank is made without reference to race, sex, creed, age, or other criteria prohibited by law.

I. A tenured appointment can be terminated only for just cause and only in accordance with any applicable section of the collective bargaining agreement.

Approved by the Board of Regents, April 9, 1997

**Appendix B: Conditions of Employment**

**MEMORANDUM** June 6, 1991

TO: Library Faculty

FROM: Dr. Herbert D. Safford
Director of Library Services

SUBJECT: Conditions of Employment

Attached, and dated 6/5/91 are five conditions of employment which apply to library faculty effective 6/10/91. These conditions of employment evolved from an initial outline of areas requiring clarification and explication. Non-administrative faculty and administrative faculty advanced various wordings pertaining to the points considered here, and the library faculty discussed these points at two faculty meetings. Finally, the Library Administrators Council refined the document through extensive discussion and revisions.

This document has now been endorsed by the Library Administrators Council and approved by the Director of Library Services.

Additional conditions of employment for library faculty will require further discussion by all concerned at library faculty meetings and other venues. Every effort will be made to hear diverse points of view which faculty may hold. Following that discussion and appropriate considerations of wording, these additional conditions may be endorsed by LAC and sent to me for approval.

Thank you for reading these conditions carefully and for abiding by the tenets which they set forth.

DONALD O. ROD LIBRARY 6/5/91

LIBRARY FACULTY

CONDITIONS OF EMPLOYMENT

1) Administrative librarians work at a minimum a 40 hour week. Non-administrative librarians work at a minimum a 37 hour week.

2) Generally, in order to permit reasonable scheduling and to ensure proper accountability, the minimum work week hours are within the library building, on the university campus, or on professional business at a site off the university campus. In special instances, when it will be productive to do so, librarians may work at home or elsewhere other than at the library within their minimum work weeks. These instances must be arranged in advance with, and approved by, the appropriate department head.

3) A work year will be construed to begin on the first day of summer session of one year and to end on the day preceding the first day of summer session of the following year. The expected work year for non-administrative librarians is the two semesters and the summer session, plus two weeks. Usually, the two weeks will be calculated as totaling ten working days. To meet departmental needs, non-administrative librarians may be required to work "short weeks" - those weeks of three or four working days during university interims. In such a case, the short week will be considered five days of the ten interim working days. In the case that a non-administrative librarian requests to work one of the short weeks, and that request is approved by the department head, days worked will be counted on a one-for-one basis against the required ten working days.

4) During either of the two semesters or the summer session, a non-administrative librarian may request that he or she be permitted to substitute a day or days to be worked at a later time. The Department Head may grant such requests up to a total of five working days in the course of one work year, if such requests are in keeping with the needs of the department. Requests exceeding that total must be approved by the Department Head, the appropriate Assistant Director, and the Director. Days granted to meet such requests will be counted on a one-for-one basis and will not be considered any portion of the required ten interim working days.

5) For non-administrative librarians, the academic semester or summer session begins on the first full day of classes. A full day of classes is considered to be a day when classes begin earlier than 4 p.m. On the day prior to the first full day of classes when classes begin at 4 p.m. or later, the reference desk shall be covered as scheduled by the Head of Reader Service. Those hours scheduled to be worked before the first full day of classes shall be compensated on an hour-for-hour basis.

**Appendix C: Statement about "Tenure Clock"**

**MEMORANDUM** March 3, 1994

TO: Library Faculty

FROM: Dr. Herbert D. Safford
Director of Library Services

SUBJECT: The "Tenure Clock"

The **MASTER AGREEMENT BETWEEN THE STATE OF IOWA BOARD OF REGENTS AND THE UNI UNITED-FACULTY, July 1, 1993 - June 30, 1995** states that, "A. A probationary appointment ... carries the implication that, I the appointee's services are judged by the university to be satisfactory, the appointment will be renewed year after year until, normally, a total of six years of probationary service shall have been accumulated," and "D. The probationary period provides the opportunity to meet the requirements for tenure."

An issue arises as to what constitutes the "total of six years of probationary service" and during which year the tenure decision is normally made. Specifically, if a person begins work on a date after the beginning of the fall term, should that fall term be considered the start of the six probationary years? Or should the six-year probationary period begin at the start of the fall term following the initial year of appointment?

Provost Marlin has indicated that the university policy is to "round up" so that if a faculty member begins work after the beginning of the fall term the six-year probationary period will begin the next fall term. Specifically, beginning work "after the beginning of a fall term" means beginning work after the first day of classes of that term. In short, a person who begins work by or on the first day of classes will normally stand for tenure in the sixth year following the fall semester in which he or she began work. A person who begins work after the first day of classes will normally stand for tenure in the sixth year following the next fall semester.

The particular virtues of this policy are that it gives individuals specific knowledge of when they will normally stand for tenure and that it gives individuals hired after the beginning of the fall term time to prepare credentials (such as taking a second master's degree) in order to present a strong case for tenure. As well, a faculty member may always ask to stand for tenure "early", and might cite her/his starting date as a reason for so requesting.

**Appendix D: Sample Calendar for Promotion and Tenure**

**University of Northern Iowa**
**Rod Library**

**Evaluation Timetable for Faculty Promotion, Tenure, Termination, 1997-98**

September 15 Library Faculty are notified that any nominations of persons to be considered for promotion and/or tenure must be forwarded to the Director of Library Services no later than October 6. Nominations may be made by the individuals themselves, by the Professional Assessment Committee, Department Heads, by the Associate Director, or by the Administrative Peer Review Committee.

At the same time, the Director will provide the faculty with a Library Faculty Factual Summary, attached to this timetable.

October 6 Final date for receipt by the Director of Library Services of nominations for promotion and/or tenure.

Immediately after October 6 [i.e., by October 7], the Director will contact all nominees for promotion and/or tenure to determine whether they wish to be considered for promotion and/or tenure.

October 27 Faculty members who have indicated they wish to be considered for promotion and/or tenure and all probationary faculty have until this date to submit to the Director an up-dated Vita together with any other supportive materials to be used in the assessment by the PAC or the APRC, Department Heads, Associate Director, and the Director in their evaluations.

The PAC will assess non-administrative librarians on continuing probationary appointment. The APRC will assess administrative librarians on continuing probationary appointment.

Immediately after October 27, the Director will submit to the PAC or the APRC [as appropriate] the complete list of candidates for promotion, tenure, or continued probation with requests that assessments be made of these faculty members.

December 8 Deadline for submission of the PAC's reports for non-administrative faculty standing for promotion and/or tenure to the Department Head and to the faculty member.

Deadline for recommendation concerning administrative faculty standing for tenure and/or promotion by the APRC to the Associate Director or Director, as appropriate.

December 15 Prior to this date, the Director will notify the Provost and affected faculty member of a recommendation to terminate a second year probationary faculty member.

January 9 Deadline for submission of recommendations concerning non-administrative faculty standing for tenure and/or promotion by the Department Head to the Director.

Deadline for submission of recommendations concerning administrative faculty standing for tenure and/or promotion by the Associate Director to the Director.

| | |
|---|---|
| | Deadline for submission of PAC's reports for non-administrative faculty on continuing appointment, but not standing for tenure and/or promotion to the faculty member and to her/his Department Head(s). |
| | Deadline for submission of APRC's reports for administrative faculty on continuing appointment, but not standing for tenure and/or promotion to faculty member and to Associate Director of Library Services. |
| January 22 | Deadline for submission of reports of Department Heads concerning non-administrative faculty on continuing appointment and not standing for promotion/tenure to faculty member and to the Associate Director of Library Services. |
| | Deadline for submission of report of the Associate Director concerning administrative faculty on continuing appointment and not standing for tenure and/or promotion to faculty member and to the Director of Library Services. |
| January 22 | LAC meets to discuss non-administrative candidates for tenure and/or promotion and to provide additional information for the Director's consideration. |
| January 23 | Deadline for Director to send to Provost list of library faculty, both administrative and non-administrative, recommended for continuing-appointment. |
| January 27 | On this date, the Director, considering the various assessments of candidates for tenure and/or promotion, and using as well his own judgement, will submit his evaluation and recommendation to the Vice President for Academic Affairs and Provost. [Prior to this action, he will have had a conference with each person being evaluated, will give each person a copy of the Director's evaluation of that person, and will place a copy of the Director's evaluation in each person's evaluation file.] |
| | On this date also, the Provost, the Deans, and the Director hold a retreat to discuss all candidacies for tenure and/or promotion. |
| February 12 | Deadline for recommendations of the University Advisory Committee to the Vice President for Academic Affairs and Provost. |
| March 1 | By this date, affected faculty members will be notified of the recommendation to the Vice President for Academic Affairs and Provost concerning promotion, tenure, termination, and/or continued probation. |
| April ? | Recommendation of the Vice President for Academic Affairs and Provost to the Board of Regents for their approval. |

**Appendix E: Library Faculty Annual Report Form**

Name_____

Date_____

**LIBRARY FACULTY ANNUAL REPORT**
**April 1, [year] - March 31, [year]**

Attach additional sheets as necessary.

**I. Narrative Overview**

**Summarize year's activities.** Address contributions in librarianship; research, publication or creative work; and service, in light of accomplishment of goals and objectives. Comment on the balance achieved in the three areas. Include information on changes in position responsibilities or challenges faced during the evaluation period, as appropriate.

## II. Librarianship

Refer to the document "Librarianship" in the Library Faculty Evaluation Handbook for a definition of this component and examples.

A. **List regular activities and special accomplishments,** e.g. special projects, innovations, improvements in procedures/policies, proficiencies gained, implementation of new technologies/systems, library instruction (quantify, when appropriate), collection analyses, etc.:

B. **Professional development activities** (specify location and dates for professional conferences, institutes, workshops, classes, etc.):

## III. Research, Scholarship, and Creative Work

Refer to the document "Research, Scholarship, and Creative Work" in the Library Faculty Evaluation Handbook for an explanation of this component and more fully-defined examples.

For each instance, provide appropriate documentation. For items in print, include copies when possible and provide full bibliographic information; for presentations, etc., cite the dates, title, location, and audience; for coursework completed toward satisfying the terminal degree, specify the course number, course name, and semester enrolled.

A. **Category I** (authorship of monograph, refereed article, paper or presentation at professional conference, editorship of monograph or journal, etc.):

B. **Category II** (AV materials, design/development of electronic resources incl. original Web pages, computer software, indexing or abstracting, editorial board membership, editing professional organization newsletter, other presentations, grants, panel discussion at professional conference, ERIC documents, poster session, non-refereed journal article, etc.):

C. **Category III** (signed book or media review, professional newsletter articles, significant in-house publications, Web pages, etc.):

D. **Works in Progress** (works submitted for publication or presentation, but not yet accepted; works for which substantial research and/or writing has been accomplished, but have not yet been submitted for publication or presentation)

E. **Other** (courses taken toward terminal degree, theses or dissertations completed, translations, etc.):

## IV. Service

Refer to the document "Service" in the Library Faculty Evaluation Handbook for a explanation of this component and more fully-defined examples.

### A. **Professional associations, organizations, or societies** (national, regional, state, local)

**1. Memberships:**

**2. Offices held:**

**3. Committee memberships:**

Provide a brief (one or two sentence) description of the committee charge and indicate the level of your involvement and accomplishments, including service as chair.

**4. Other:**

**B. Library committees, task forces, advisory or governing bodies**

Provide a brief (one or two sentence) description of the charge and indicate the level of your involvement and accomplishments.

**C. University committees, task forces, advisory or governing bodies**

Provide a brief (one or two sentence) description of the charge and indicate the level of your involvement and accomplishments.

D. **Public professional service**

Describe activity, level of involvement, and accomplishments.

E. **Other** (including Interinstitutional Committees)

N.B. It is not necessary to submit copies of materials already provided for your evaluation file.

Please return to your immediate supervisor no later than April [day], [year].

# Results of Annual Evaluation of Tenure-Track Faculty

Name: _____

College: _____ Department: _____

Current Academic Title: _____

## Recommendations:

Departmental PAC

❑ Continued Probation ❑ Continued Probation with Difficulties ❑ Termination of Probationary Appointment

Signature _____ Date _____

Department Head

❑ Continued Probation ❑ Continued Probation with Difficulties ❑ Termination of Probationary Appointment

Signature _____ Date _____

College Dean

❑ Continued Probation ❑ Continued Probation with Difficulties ❑ Termination of Probationary Appointment

Signature _____ Date _____

**Appendix G: Promotion and Tenure Cover Sheet**

University of Northern Iowa

**PROMOTION AND TENURE COVER SHEET**

Name_____

Department_____College_____

Highest Degree_____

Total Years at UNI (include current academic year)_____

**CANDIDATE FOR** (please check) _____Promotion to Associate Professor
_____Promotion to Full Professor
_____Tenure

Yes_____No_____**Department PAC Recommendation**

_____
*Signature, PAC Chair*

Yes_____No_____**Department Head Recommendation**

_____
*Signature, Department Head*

**College Advisory Committee Recommendation to Dean**_____
Vote (Yes-No-Abstention)

_____
*Signature, Committee Chair*

Yes_____No_____**Dean Recommendation**

_____
*Signature, Dean*

**University Advisory Committee Recommendation to Provost**_____
Vote (Yes-No-Abstention)

_____
*Signature, Committee Chair*

Yes_____No_____**Provost Recommendation**

_____ _____
*Signature, Provost* *Date*

**Appendix H: Library Professional Assessment Committee Procedures**

## LIBRARY PROFESSIONAL ASSESSMENT COMMITTEE

The primary assessment of candidates for promotion, tenure, or continued probation is made by their colleagues in the library, through established assessment procedures, in accordance with applicable sections of a collective bargaining agreement, although the decision to promote, award tenure, or grant continued probation is the responsibility of academic officers.

The following procedural guidelines of the Library Professional Assessment Committee were developed and approved by the tenured Library Faculty who do not hold administrative appointments. They comply with Article Three and the appended "Memorandum of Agreement" (p. 65) of *A Master Agreement between the State of Iowa Board of Regents and the UNI-United Faculty*, dated July 1, 1997--June 30, 1999.

## PROCEDURES

I. The Library Professional Assessment Committee.

A. The Library Professional Assessment Committee, hereinafter referred to as the P.A.C., shall consist of all tenured library faculty who do not hold administrative appointments.

B. The P.A.C. shall elect a Chairperson and Recording Secretary who shall serve for a two-year term corresponding to the duration of the present *Master Agreement*. The Director of Library Services shall be notified in writing of those elected.

C. The P.A.C. shall select two of its members as a slate of candidates from which the Provost will make a selection for his/her University Advisory Committee. The Chairperson of the Library P.A.C. will forward the names directly to the Provost and a copy will be submitted to the Director of Library Services.

D. The P.A.C. may designate one or more sub-committee(s) of its members to facilitate its work.

E. All final affirmative recommendations regarding tenure and/or promotion shall be determined by a majority of all members of the P.A.C.

F. The Chairperson and the Recording Secretary shall review this document after each new *Master Agreement* is issued and make necessary revisions subject to the approval of the P.A.C. The Director of Libraries shall be notified of any proposed changes in the procedures; following his/her approval, they shall be incorporated into this document.

G. In the event that the membership of the P.A.C. falls below three, the P.A.C. will recommend to the Director the name(s) of tenured faculty members from outside the library faculty holding nonadministrative appointments to serve on the Library P.A.C. These appointments of non-library faculty will be temporary, for the duration of the current assessments.

H. At the end of each fiscal year the P.A.C. Chairperson, with the assistance of the Recording Secretary, shall prepare an annual report of P.A.C. activities for the Director of Library Services.

II. P.A.C. Procedures for Assessment for Promotion, Tenure, Continued Probation or Termination of Nonadministrative Library Faculty.

A. By the date designated by the Director, the P.A.C. will forward to the Director the name(s) of its nominee(s) to be considered for promotion and/or tenure.

B. The P.A.C. will assess all non-administrative librarians on continuing probationary appointment.

C. After receiving official correspondence from the Director, candidates will have ten calendar days in which to file a current vita and other relevant information. The candidates will supply to the Chairperson of P.A.C. a photocopy or original of their vita and will inform the Chairperson whether copies can be distributed to P.A.C. members for evaluation purposes.

D. P.A.C. members will examine the evaluation file of each person being assessed. If copies of the material from the candidate's files are desired by the P.A.C., the chair will request permission from the candidate to duplicate the material. Duplicated materials will be returned to the candidate at the end of the process.

E. The P.A.C. Assessment Meeting will be called at least 10 calendar days prior to the date on which the Director requires the Committee's final report(s).

1. The P.A.C. members will discuss the results of their study of pertinent documentation and their assessments of the candidates' performance. At this time, a determination to invite pertinent opinions or comments from other library and university personnel may be made. Assessments may also be sought from colleagues outside the university. The Committee will continue to meet until all assessments have been completed.

2. Final P.A.C. reports shall be based on the collective judgement of the Committee. Reports for candidates standing for tenure and/or promotion shall include a numerical record of P.A.C.'s final vote on their candidacy.

3. The Chairperson and the Recording Secretary will prepare the draft and the Final P.A.C. Report.

4. Any member of the P.A.C. will be excluded from that portion of the meeting in which his/her performance is assessed.

F. Final P.A.C. Report

1. The Chairperson and the Recording Secretary will submit the Final P.A.C. Report to the Committee members for their approval and signatures.

2. Minority reports may also be prepared by those dissenting from the Committee's report.

3. Copies of the Final P.A.C. Report and any minority reports shall be distributed to the Director, the department head(s), and the person who is the subject of the assessment.

4. The Chairperson shall complete the appropriate cover sheet for each candidate being assessed. The number of affirmative and negative votes shall be recorded on the cover sheet for candidates for tenure and/or promotion. P.A.C.'s recommendation for continued probation, continued probation with

difficulties, or termination of probationary appointment shall be indicated on the cover sheet for candidates for continued probation.

5. After the P.A.C. has made its report, either the Director or the P.A.C. shall have the right to call a meeting of the Director and the P.A.C. to discuss the report.

| | |
|---|---|
| Herbert Safford<br>Director of Library Services | Thomas L. Kessler<br>Chair, Professional Assessment Committee |

October 6, 1997

**Appendix I: Administrative Peer Review Committee Procedures**

ADMINISTRATIVE PEER REVIEW COMMITTEE PROCEDURE
FOR ASSESSMENT OF ADMINISTRATIVE CANDIDATES
FOR TENURE AND/OR PROMOTION
AND FOR ADMINISTRATIVE LIBRARIANS ON CONTINUING APPOINTMENT

October 1997

The primary assessment of the administrative candidate for promotion is made by his/her administrative colleagues in the library, through established assessment procedures. The Administrative Peer Review Committee also annually evaluates administrative librarians on continuing probationary appointment.

The following procedural guidelines of the Administrative Peer Review Committee were developed and approved by the Library Administrative Council.

PROCEDURES

I. The Administrative Peer Review Committee

A. The Administrative Peer Review Committee, hereinafter referred to as the APRC, shall consist of all tenured library department heads. A Library department head joins the APRC on the July 1st following the awarding of tenure.

B. In the event that the membership of the APRC falls below three, the APRC will recommend to the Director the name(s) of tenured faculty members from outside the library faculty holding administrative appointments to serve on the Library APRC. These appointments of non-library faculty will be temporary, for the duration of the current assessments.

C. The chair of the APRC for the previous year will call the first meeting for the following year in accord with the Evaluation Timetable for Promotion, Tenure, and Termination. The first meeting of each year will be held no later than October 1st.

D. The APRC shall elect a Chairperson and Recording Secretary who shall serve for the duration of each period that an administrator is to be reviewed for tenure and/or promotion, or continuing appointment. The Director of Library Services shall be notified in writing of those elected by the Recording Secretary.

E. All recommendations regarding tenure and/or promotion for administrative librarians shall be determined by a majority of the members of the APRC.

F. Prior to beginning each year's review process, the chair of the APRC from the previous year will report recommended revisions to the APRC procedure for review and possible adoption by the LAC. The revised procedures, after adoption by the LAC, will be distributed by the Director's Office to all library faculty for inclusion in the Library Faculty Handbook.

II. APRC Procedures for Assessment for Continuing Appointment, Tenure and/or Promotion

A. By the date designated by the Director, the Chair of the APRC will forward to the Director the name(s) of persons it recommends be considered for promotion and/or tenure. If the APRC has no nominations, the Chair of the APRC will notify the Director to that effect.

B. The Director will notify the Chair of the APRC if any individual nominated for tenure and/or promotion declines the nomination.

C. After receiving official notice from the Director concerning their nomination for tenure and/or promotion, all candidates will have until the date specified in the evaluation timetable issued by the Director to file a current vita and other relevant information. Candidates should also, at that time, submit a list of five to seven names, addresses, e-mail addresses, fax numbers, and telephone numbers of persons who can assess the candidate's performance in one or more specific promotion and tenure criteria, along with a description of their professional relationship to the candidate. Examples include chairpersons or officers of professional organizations, editors, or professional colleagues outside the university.

D. According to the date established in the Evaluation Timetable, the Director will notify the Chair of the APRC of the candidates for tenure and/or promotion.

E. The APRC may begin its assessment of administrative librarians on continuing probationary appointment immediately after the deadline for the filing of an updated Vita and supporting materials. The purpose of this evaluation is to determine whether or not continued probationary employment status should be granted and to assess the faculty member's cumulative progress towards achieving tenure and promotion. The Chair will distribute to members of the APRC copies of the library faculty evaluation form, complete with the name of the librarian and the purpose of the assessment (continuing probationary appointment), for their use in drafting the assessment. These forms will not be collected and retained by the Chair.

F. The APRC may begin its assessment of administrative librarians standing for tenure and/or promotion immediately after the deadline for the filing of an updated Vita and supporting materials. The Chair will distribute to members of the APRC copies of the library faculty evaluation form, complete with name of the candidate and purpose of the assessment (tenure and/or promotion), to use as an aid in preparation of the final APRC narrative report. These forms will not be collected and retained by the Chair. The APRC will select three to five names from those submitted for solicitation of comments. The Chair of the APRC will contact those persons and send them a copy of the candidate's vita and a copy of the criteria for Librarianship; Research, Scholarship, and Creative Work; and Service. In their written assessment they will be asked to address any of those criteria. At this time, a determination to invite additional opinions or comments from other library and university personnel will be made. None of these individuals shall have access to the candidate's evaluation file. Assessments may also be sought from colleagues outside the university. As they are received, the Chair will notify the candidate of any written assessments added to his/her evaluation file. While initial letters of assessment may be submitted via e-mail or fax, signed originals must be submitted for the candidate's evaluation file.

G. During this same period, APRC members will examine the evaluation files of administrative candidates for tenure and/or promotion and administrative faculty on continuing probationary appointment. These materials will be available for use in the Library. If the candidate agrees, photocopies will be made available to the APRC for use until the assessment report is sent to the candidate, at which time these materials will be returned to him/her.

H. The initial APRC assessment meeting will be called at least 10 calendar days prior to the date on which the Director requires the Committee's final report(s).

1. The APRC members will discuss the results of their study of pertinent documentation and their assessments of the candidates' performance. The Committee will continue to meet until all assessments have been completed.

2. All APRC deliberations pertaining to persons being evaluated shall be confidential.

3. The final APRC report shall be based on the collective judgement of the Committee and shall include a narrative report (including a numerical record of the final vote for/against promotion and/or tenure).

4. After the meeting the Chairperson and the Recording Secretary will prepare the draft and final copies of the Committee's report(s).

5. Any member of the APRC will be excluded from that portion of the meeting in which his/her performance is assessed.

I APRC Final Report

1. The Chairperson of the APRC will submit the APRC Final Report to the Committee members for their approval and signatures.

2. For administrative faculty on continuing probationary appointment, the Chair of the APRC will complete and sign the Results of Annual Evaluation of Tenure-Track Faculty form. For candidates standing for tenure and/or promotion, the Chair of the APRC will complete and sign the Promotion and Tenure Cover Sheet indicating the APRC's recommendation.

3. Minority reports may also be prepared by those dissenting from the Committee's report.

4. Copies of the APRC Final Report and any minority reports shall be distributed to the Associate Director, the Director, and the person who is the subject of the assessment. In the case of the review of the Associate Director, the Report will be sent to the Director and the subject of the assessment.

5. After the APRC has made its report, either the Director or the APRC shall have the right to call a meeting of the Director and the APRC to discuss the report.

November 1993, Revised October 1994, Revised October 1995, Revised March 1997, Revised October 1997

**Appendix J: Sample Review Instrument for Five-Year Review of Director of Library Services**

Director of Library Services
Review Instrument

According to university regulations, a formal review of the work of academic administrators, including the Director of Library Services, is to be carried out at five-year intervals. Such a review is to include systematic solicitation of opinion from the appropriate colleagues.

This instrument constitutes a part of the systematic solicitation of your opinion. You are asked to give your opinions and your ratings and return this form to Dr. Marlin, 200 Gilchrist by November 19.

I. RATINGS

Please indicate your ratings by circling the appropriate number after each item. A rating of 1 is very low, 3 is average, and 5 is excellent. If you feel your information is entirely inadequate for rating on a given item, circle the X.

| The director: | Low High NA |
|---|---|
| 1. Demonstrates awareness and understanding of current developments in librarianship, library management, and information technology | 1 - 2 - 3 - 4 - 5 - X |
| 2. Is respected for intellectual qualities | 1 - 2 - 3 - 4 - 5 - X |
| 3. Possesses a clear vision of the goals and objectives of the library | 1 - 2 - 3 - 4 - 5 - X |
| 4. Develops both short- and long-range plans systematically and thoughtfully | 1 - 2 - 3 - 4 - 5 - X |
| 5. Carries plans to completion | 1 - 2 - 3 - 4 - 5 - X |
| 6. Consistently demonstrates effective leadership in the library | 1 - 2 - 3 - 4 - 5 - X |
| 7. Performs duties in a timely manner | 1 - 2 - 3 - 4 - 5 - X |
| 8. Takes initiative in development and implementation of new programs and technologies | 1 - 2 - 3 - 4 - 5 - X |
| 9. Is effective in forming, developing, and supervising an administrative network to implement policy | 1 - 2 - 3 - 4 - 5 - X |
| 10. Acts decisively, effectively, and at appropriate times | 1 - 2 - 3 - 4 - 5 - X |
| 11. Delegates authority and responsibility appropriately to others | 1 - 2 - 3 - 4 - 5 - X |
| 12. Provides sound fiscal management, achieving efficient and effective use of resources | 1 - 2 - 3 - 4 - 5 - X |
| 13. Actively strives to secure funds for library materials and services | 1 - 2 - 3 - 4 - 5 - X |
| 14. Respects agreements university makes with bargaining units representing library employees | 1 - 2 - 3 - 4 - 5 - X |

| | | Low High NA |
|---|---|---|
| 15. | Makes good decisions in the selection of a highly qualified diverse staff | 1 - 2 - 3 - 4 - 5 - X |
| 16. | Actively solicits viewpoints of faculty and staff on library matters either directly or through departmental channels | 1 - 2 - 3 - 4 - 5 - X |
| 17. | Maintains an environment in which faculty and staff are encouraged to make suggestions for improving library operations | 1 - 2 - 3 - 4 - 5 - X |
| 18. | Has effectively involved faculty and staff in the strategic planning process | 1 - 2 - 3 - 4 - 5 - X |
| 19. | Is sensitive to faculty and staff needs | 1 - 2 - 3 - 4 - 5 - X |
| 20. | Appears to be accessible for personal consultation | 1 - 2 - 3 - 4 - 5 - X |
| 21. | Is aware of and commends faculty and staff activities and accomplishments | 1 - 2 - 3 - 4 - 5 - X |
| 22. | Handles promotion, tenure, and reclassification fairly and equitably | 1 - 2 - 3 - 4 - 5 - X |
| 23. | Exercises good judgment in making difficult personnel decisions | 1 - 2 - 3 - 4 - 5 - X |
| 24. | Is fair and honest in dealing with others | 1 - 2 - 3 - 4 - 5 - X |
| 25. | Possesses an adequate understanding of your department and its unique purpose in the library | 1 - 2 - 3 - 4 - 5 - X |
| 26. | Effectively communicates university and library matters to the library staff | 1 - 2 - 3 - 4 - 5 - X |
| 27. | Facilitates communication and team building in the library | 1 - 2 - 3 - 4 - 5 - X |
| 28. | Commands respect and confidence of the library staff | 1 - 2 - 3 - 4 - 5 - X |
| 29. | Is sensitive to how the library serves the academic needs of the university community | 1 - 2 - 3 - 4 - 5 - X |
| 30. | Effectively represents the needs, concerns and interests of the library to the UNI administration and other organizations that influence the library's development | 1 - 2 - 3 - 4 - 5 - X |
| 31. | Is appropriately active in university and community service | 1 - 2 - 3 - 4 - 5 - X |
| 32. | Is appropriately active in state and national library activities | 1 - 2 - 3 - 4 - 5 - X |
| 33. | Contributes to the growth of knowledge through publication, professional papers or other accepted vehicles | 1 - 2 - 3 - 4 - 5 - X |
| 34. | Promotes a positive image for the library | 1 - 2 - 3 - 4 - 5 - X |

II. WRITTEN RESPONSES

(Responses may be written on the back if more space is needed.)

1. What would you consider to be his major strengths as library director?

2. What would you consider to be his major weaknesses as library director?

3. How do you feel about the general direction of the library under the current director's leadership?

4. How do you feel about the direction of the library as such and in relation to the direction of the university?

Additional comments may be written on the back. Please return this form to Dr. Marlin, 200 Gilchrist, by November 19.

**Appendix K: Evaluation File Log** (this procedure is planned)

Category _____ Name_____

Please use separate sheets for each category of the evaluation file.

| Description | Date Entered | Date Removed | Approval (Initials) |
|---|---|---|---|
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## EVALUATION FILE LOG EXAMPLES

**Example for Section II: Current Resume**

Category Current Resume Name Library Faculty

| Description | Date Entered | Date Removed | Approval (Initials) |
|---|---|---|---|
| Resume - 1991 | 3/15/91 | 4/1/92 | |
| Resume - 1992 | 4/1/92 | 3/23/92 | |
| Resume - 1993 | 3/23/93 | | |

**Example for Section VII: Documentation of Research, Scholarship, and Creative Work**

Category Research Name Library Faculty

| Description | Date Entered | Date Removed | Approval (Initials) |
|---|---|---|---|
| Review: LJ, 160 (22) | 6/15/91 | | |
| Presentation: "Libraries in the Modern World," ILA, 4/92 | 4/22/92 | | |
| | | | |

**Example for Section VIII: Letters**

Category Letters Name Library Faculty

| Description | Date Entered | Date Removed | Approval (Initials) |
|---|---|---|---|
| Letter: Dr. Smith 8/16/91 | 8/23/91 | | |

**Example for Section IX: Other Supporting Documentation**

Category Other Name Library Faculty

| Description | Date Entered | Date Removed | Approval (Initials) |
|---|---|---|---|
| Preface from "Plastics" | 2/7/93 | | |

**Appendix L: Sample Resume**

## SAMPLE RESUME OUTLINE

Items to Include

**Name**

**Address**

Include both home address and home and business phone numbers; e-mail address

**Education**

Degrees earned in reverse chronological order, with institution where degree was earned, and date degree earned; include other institutions where substantial coursework was completed and dates attended.

**Professional Experience**

Include information on all major professional positions held, in reverse chronological order. Include for each position institution where position was held, rank, title, dates, tenure status.

Include for each position a brief description of major responsibilities, accomplishments.

**Other Work Experience**

Include if full-time employment held over a length of time. Include military experience, if appropriate.

**Credit Instruction**

List credit courses taught, if applicable.

**Grants**

List grants received, indicating purpose of grant, granting agency, and date received.

**Publications**

List by type of publication; for each, include complete bibliographic information. Include works accepted but not yet published in the appropriate category and add a notation "forthcoming" or "in press."

**Books and Parts of Books** (include editorships of monographs or sets)

**Journal Articles**

**Computer Software or Databases**

**Abstracts or Indexes**

**Research Reports**
For example, ERIC documents

**Newsletter Articles**

If substantive

**Book Reviews**

**In-House Publications**

If substantive

**Translations of Scholarly or Creative Works**

**Editorships**

Of journals or newsletters

**Editorial Boards**

**Presentations**

For each presentation, provide complete information, to include title of presentation, type of presentation (refereed, invited, poster session, panel discussant, etc.), sponsoring organization, place and date of presentation.

Those who have very extensive lists of presentations may wish to group them by type of presentation.

**Scholarly Works in Progress**

**Professional Service**

List organizational memberships; under each organization list committee or other kinds of participation. Indicate offices held, and date of membership on committees, etc.

**Library and University Service**

For each library and university where one worked, include list of committees, task forces, advisory or governing bodies on which one served. Include offices held and date served.

**Professional Community Service**

List community service activities relevant to professional expertise; Indicate service performed, agency for which service was provided, and dates of service.

**Consulting**

List consulting work done related to professional expertise. Indicate type of consultation, for whom consultation was done, and date(s) of consultation.

**Formal Continuing Education**

List substantive formal continuing education activities related to professional expertise (OMS workshops, institutes, etc.). Include title of activity, sponsoring agency, place and date.

**Honors**

List honors or awards received. Include honorary society memberships. Indicate date of receipt when appropriate. Note: Placement of honors may follow education.

**Languages**

List foreign languages studied. May indicate level of fluency.

N.B. Date document